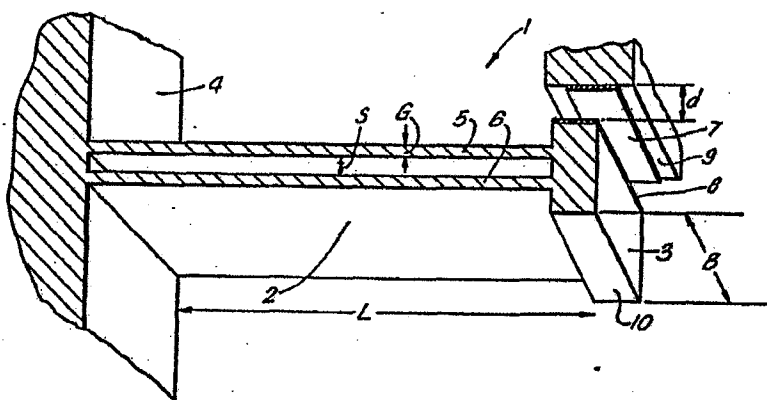




INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification⁴ : G02B 26/02</p>	<p>A1</p>	<p>(11) International Publication Number: WO 88/ 07697 (43) International Publication Date: 6 October 1988 (06.10.88)</p>
<p>(21) International Application Number: PCT/GB88/00262 (22) International Filing Date: 31 March 1988 (31.03.88) (31) Priority Application Number: 8707854 (32) Priority Date: 2 April 1987 (02.04.87) (33) Priority Country: GB (71) Applicant (for all designated States except US): BRITISH TELECOMMUNICATIONS PUBLIC LIMITED COMPANY [GB/GB]; 81 Newgate Street, London EC1A 7AJ (GB). (72) Inventors; and (75) Inventors/Applicants (for US only) : STANLEY, Ian, William [GB/GB]; Meadow Barn, Tuddenham St Martin, Ipswich, Suffolk IP6 9DA (GB). SHEPHERD, John, Nicholas [GB/GB]; 343 Maryvale Road, Bournville, Birmingham B30 1PL (GB).</p>		<p>(74) Agent: GREENWOOD, John, David; British Telecom, Intellectual Property Unit, 151 Gower Street, London WC1E 6BA (GB). (81) Designated States: AU, JP, US. Published <i>With international search report.</i></p>

(54) Title: RADIATION DEFLECTOR ASSEMBLY



(57) Abstract

A micromechanical cantilever beam (1) for use in an optical switch or other radiation deflector assembly includes a beam portion (2) comprising two parallel arms (5, 6) hinged at one end to a supporting substrate (4) and at the other end to a load portion (3) which provides the major proportion of the total mass of the cantilever beam. The beam is deflected by the application of an electrostatic potential between electrodes on opposing surfaces (8, 9) of the load portion and the supporting substrate respectively. This structure has improved switching performance in operation.

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RADIATION DEFLECTOR ASSEMBLY

The present invention relates to radiation deflectors and radiation deflector assemblies and in particular to radiation deflectors and assemblies of the kind described in co-pending patent application PCT GB 86/00630 filed 16 October 1986 in the name of the present applicants.

Radiation deflector assemblies described in PCT GB 86/00630 comprise at least three radiation waveguides; a controllable radiation deflector positioned such that when the deflector is in a first position radiation passes between one combination of two of the waveguides, and when the deflector is in a second position radiation passes between another combination of two of the waveguides; and control means responsive to control signals for controlling the position of the deflector. In the specific embodiment described in PCT GB 86/00630 the deflector comprises a cantilever beam mounted and hinged in a common substrate with the waveguides. This configuration of radiation deflector assembly hereinafter referred to as "of the kind described" eases the problem of accurately aligning the waveguides with the deflector.

Radiation deflector assemblies of the kind described find application as radiation switches, for example, as optical switches in optical transmission systems.

One problem with the construction of radiation deflector assemblies of the kind described is the need to make the radiation deflector attain equilibrium as rapidly as possible on switching, without excessive resonant oscillation. The deflector must also have a minimum displacement sufficient to deflect radiation by a distance at least equal to the separation between each of the waveguides in respective waveguide pairs.

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It is further desirable that where the control means requires a driving potential to control deflection of the deflector, this driving potential is minimised.

It is an object of the present invention to provide improved radiation deflectors and deflector assemblies of the kind described which resolve or at least partially mitigate one or more of these aforementioned problems.

According to the present invention a radiation deflector comprises a deflectable cantilever beam of which one end is free and one end is hinged to a supporting substrate wherein the cantilever beam has its centre of mass closer to the free end of the beam than to the hinged end.

Also according to the present invention a radiation deflector assembly of the kind described comprising a deflectable cantilever beam of which one end is free and one end is hinged to a supporting substrate is characterised in that the cantilever beam has its centre of mass closer to the free end of the beam than to the hinged end.

Conveniently, the cantilever beam comprises a beam portion hinged to the substrate and a load portion at the free end of the beam portion. Preferably the load portion provides the major proportion of the total mass of the cantilever beam as a whole, the centre of mass of the load portion being arranged to be positioned at or near the free end of the beam portion.

It has been found that a cantilever beam radiation deflector according to the present invention facilitates the more rapid attainment of equilibrium on switching.

Preferably the length of the beam portion and the mass of the load portion are selected such that the first natural resonant frequency of the cantilever beam is much greater than the maximum frequency at which the deflector is to be switched between positions.

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Conveniently, in a radiation deflector assembly according to the invention, the control means comprises means for applying an electrostatic potential for displacing the cantilever beam deflector. The control means may include an electrode arranged such that the displacement force provided by an applied electrostatic potential effectively acts at the centre of mass of the load portion.

Conveniently, the electrostatic potential may be applied to a side surface, being a surface of the load portion substantially parallel to the longitudinal axis of the undisplaced beam portion. Preferably the area of the side surface is made relatively great in order to reduce the electrostatic potential required to provide the necessary displacement force.

Embodiments of the invention will now be described in detail and by way of example with reference to the accompanying drawings in which:

Figure 1 is a schematic illustration of a cantilever beam radiation deflector according to the present invention;

Figure 2 is a cutaway perspective view of a substrate with a cantilever beam radiation deflector according to the present invention;

Figure 3 is a diagram illustrating one mode of operation of a radiation deflector according to the invention;

Figure 4 illustrates an alternative mode of operation;

Figure 5 is a graph illustrating the ranges of beam geometries appropriate for desirable performance criteria;

Figure 6 is a graph of cantilever stiffness versus arm spacing and thickness for a cantilever with a beam portion comprising two parallel arms; and

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Figure 7 is a diagram illustrating the stages in an exemplary method of fabrication of a cantilever beam radiation deflector according to the invention in a silicon substrate.

In Figure 1 a cantilever beam radiation deflector 1 comprises a beam portion 2 which extends out from the body of supporting substrate 4 and carries a load portion, or end mass 3, at the end not attached to the substrate. In this embodiment the beam portion 2 is formed of two parallel arms 5, 6. An area 9 of the supporting substrate 4 adjacent to the end mass 3 is provided with an electrode 7 disposed parallel to and opposite a lateral surface 8 of the end mass 3. The surface 8 is shown also provided with an electrode.

In operation, the cantilever may be deflected by applying an electrostatic potential between the electrodes. The parallel arms 5, 6 are adapted to flex at the joints to the body of the substrate 4 and at the joints to the end mass 3. This arrangement permits the electrode surfaces to remain parallel even when the beam portion is deflected.

Figure 2 is a cutaway perspective view of an alternative cantilever beam radiation deflector 20. The cantilever beam deflector 20 again comprises a beam portion 22 formed of two parallel arms 25, 26, extending out from a supporting substrate 24, together with a massive load portion, or end mass 23. The load portion 23 in this instance is H-shaped and is arranged to have its centre of mass in the plane of the attachment of the load portion to the two parallel arms 25, 26.

In this configuration the sides 28, 30 of the load portion 23 are readily available for use with electrostatic electrodes. The proportionately large area of these sides reduces the magnitude of the electrostatic driving potential needed to displace the deflector.

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One mode of operation of a radiation deflector assembly of the kind described is illustrated in plan schematic in Figure 3. As in Figure 2, the deflector shown comprises an H-shaped load portion 33 attached to a supporting substrate 34 by two parallel arms 35, 36. Three waveguides 300, 301, 302 are provided in the substrate 34 and are arranged such that radiation passed along the waveguides is deflected off one side surface 38 of the load portion 33. The side surface 38 is provided with a coating exhibiting suitably high reflectivity at the operating wavelength of.

In Figure 3(a) the radiation deflector is undisplaced from its equilibrium position and radiation is directed between the two waveguides 300 and 301 as shown by the dotted line. In Figure 3(b) the radiation deflector is displaced towards the waveguides by means of electrostatic attraction between electrodes on the opposing faces 38, 39 of the load portion 33 and the supporting substrate 34 respectively. In this position radiation is directed between waveguides 300 and 302, again as shown by the dotted line.

An alternative embodiment and mode of operation is illustrated in Figure 4. In this embodiment a waveguide 400 is mounted longitudinally along the beam portion of the deflector and parallel with the arms 45, 46. This waveguide 400 terminates at the end face 41 of the load portion 43. Three further waveguides 401, 402, 403 are mounted in the substrate 44 and terminate at the face 42 of the substrate opposing the end face 41 of the load portion 43. Electrostatic potential is applied between electrodes on opposing side faces 48, 49 of the load portion 43 and substrate 44 respectively to displace the deflector.

In the undisplaced equilibrium position of Figure 4(a) radiation is coupled between the waveguide 400 on the cantilever deflector and the central waveguide 401 on the supporting substrate. In Figure 4(b), the cantilever is displaced to couple radiation between the waveguide 400 on the cantilever deflector and the waveguide 402 on the main body of the substrate. If the cantilever were displaced in the opposite sense clearly radiation would be coupled between the cantilever waveguide 400 and the third other waveguide 403.

For optical radiation the waveguide 400 mounted on the cantilever may be an optical fibre stripped of the usual cladding and comprising the central core alone. Such a waveguide would be flexible enough to move with the cantilever beam portion and dimensionally of the appropriate scale. Over the small distances involved the excess loss introduced by an unclad fibre such as this would be negligible.

It will be apparent that radiation could be deflected into additional waveguides by suitably adjusting the degree and direction of displacement of the cantilever in both the example embodiments described here and in other embodiments within the scope of the invention.

In order to appreciate the advantages of the embodiments of the invention it is useful to analyse the mechanical characteristics of a cantilever beam, using the notation as shown in Figure 1.

Assuming that the only force acting on the cantilever is a concentrated force, P , at the free end, then the maximum displacement y_0 may be expressed as:

$$y_0 = \frac{-PL^3}{3EI} \quad (1)$$

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where L is the length of the beam and EI is the elastic stiffness of the beam. E is the elastic modulus and I is the second moment of area which may be expressed as:

$$I = \frac{BG(S+2G)}{6} \quad (2)$$

where B is the depth of the beam, G is the arm thickness and S is the arm separation.

Where the force P is applied by an electrostatic potential V acting over an area A , the magnitude of the force is given by:

$$P = V^2 A \epsilon_0 / d^2 \quad (3)$$

where ϵ_0 is the permittivity of free space and d is the separation of the cantilever from the substrate electrode.

The first resonant frequency f of this device is given by:

$$f = \frac{2\pi\omega}{2\pi} = \frac{1}{2\pi} [3EI/L^3 (M+0.23m)]^{0.5} \quad (4)$$

where m and M are the masses of the cantilever beam portion and end mass respectively and ω is the natural frequency of the cantilever.

For switching applications, it is important to damp the transient vibrations as soon as possible after switching. The critical damping, C for such a device is given by:

$$C = 2m\omega \quad (5)$$

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and the rate at which the amplitude diminishes is exponential and is given by:

$$y = y_0 \exp[-\omega t] \quad (6)$$

From the theoretical treatment above it is possible to observe how the geometrical parameters of the cantilever beam influence the mechanical response, in terms of amplitude of deflection and natural resonance, of the deflector.

For a given set of dimensional constraints, the maximum switching displacement will be determined by the electrode separation, d . As d increases then according to Equation (3) the potential V required to displace the deflector must likewise increase. This increase can be offset by making the area A over which the potential is applied as large as possible within the practical limitations, as shown in the embodiment of Figure 2, for example.

From Equations (4) and (5) it is apparent that the mass of the load portion has two significant effects. A larger mass increases the rate at which the cantilever attains equilibrium, but at the same time it decreases the first resonant frequency. The decrease in resonant frequency which goes with a larger mass can be compensated to some extent by increasing the moment of area I , or by decreasing the length, L of the beam portion. However, changes in these parameters both involve increasing the resonant frequency at the expense of the maximum displacement, y_0 . Consequently, in the limit, it is preferable to increase I or decrease L such that $y_0 = d$ for a given applied electrostatic potential.

For the purposes of demonstration, some characteristics of a cantilever deflector as shown in

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Figure 2 have been modelled for certain selected performance criteria. The selected criteria were that:

- (i) the resonant frequency should be greater than 5KHz;
- (ii) the maximum electrostatic potential for deflection should be below 100V; and
- (iii) the minimum electrode spacing should be $10\mu\text{m}$.

These figures were chosen as examples only and as such are representative rather than uniquely ideal. Similarly, the ranges of geometric parameters used in the calculations were likewise chosen as representative and should not be taken to imply any specific limitations. The choice of criteria and geometric parameters in a particular practical case must be made according to the conditions relevant to that individual case. The examples here are for general guidance alone.

In Figure 5 the solid curves show the variation in beam stiffness with beam length for end masses, M of $10\text{--}50\mu\text{g}$. These curves represent the limiting range of beam geometries (ie length and cross-section) which have a resonant frequency of 5KHz for the given end mass. The dashed curves represent beam geometries which are able to deflect to the full electrode spacing ($d = 10, 15, 18\mu\text{m}$) with a maximum applied potential of 100V. In between a pair of these curves (one solid, one dashed) exist windows inside which the three performance criteria are met.

In Figure 6 the stiffness of the cantilever, EI , is plotted as a function of the arm spacing, S for various arm thicknesses, G .

It can be seen that the twin arm beam structure enables beam stiffness appropriate to a specific situation to be easily selected from a wide range by varying the arm thickness. The twin arm structure of the beam portion thus provides design flexibility in addition to permitting the faces of the load portion to remain oriented in the

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same direction whether the beam portion is deflected or not, as described earlier. Furthermore, this structure is also convenient for fabrication.

One method of fabrication of a deflector according to the invention using a (110) silicon substrate is shown diagrammatically in Figure 7. Using the notation of the Miller indices, (110) silicon has two of the four $\{111\}$ planes perpendicular to the surface, aligned along the $\langle 112 \rangle$ surface directions. These two 'vertical' $\{111\}$ planes of interest intersect each other at an angle of 70.53° . The remaining two $\{111\}$ planes form an angle of 35.26° to the surface, but are not employed in this construction.

The exemplary method of device fabrication illustrated in Figure 7 involves four masking levels and two anisotropic etching stages, both through the whole silicon wafer thickness. The fabrication of the vertical beams involves a combination of micromachining and silicon planar technology to define the deflector geometry and to align the beams accurately along $\langle 112 \rangle$ directions. The structures are etched using electrochemically controlled ethylene diamine as an anisotropic etchant. The main steps are:

- (a) Thermal oxidation followed by photolithographic definition of the beam length and exposure of a window in the silicon equivalent to the spacing between the twin arms.
- (b) Etching of a slot through the exposed silicon and subsequent photolithographic definition of the end mass and areas of the supporting substrate which will eventually form the adjacent electrode surfaces.
- (c) Diffusion into the exposed $\{111\}$ planes of the slot to define the arm thicknesses. This provides an accurate and reproducible method of controlling the thickness

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of the cantilever arms. The concentration dependence of the next anisotropic etch is used as a fine tune of the arm thickness. Further diffusion is made into the areas lithographically defined in the previous step.

- (d) Masking to define the free beam and etching the exposed silicon to provide the end mass and appropriate electrode spacing.
- (e) A final metallisation stage employing a shadow mask in (100) silicon and sputtering of aluminium through this mask to define the contact regions and create the electrodes between the end mass and the bulk of the substrate. Sputtering from both sides of the silicon wafer and annealing provides a uniform metallisation across the wafer thickness.

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CLAIMS

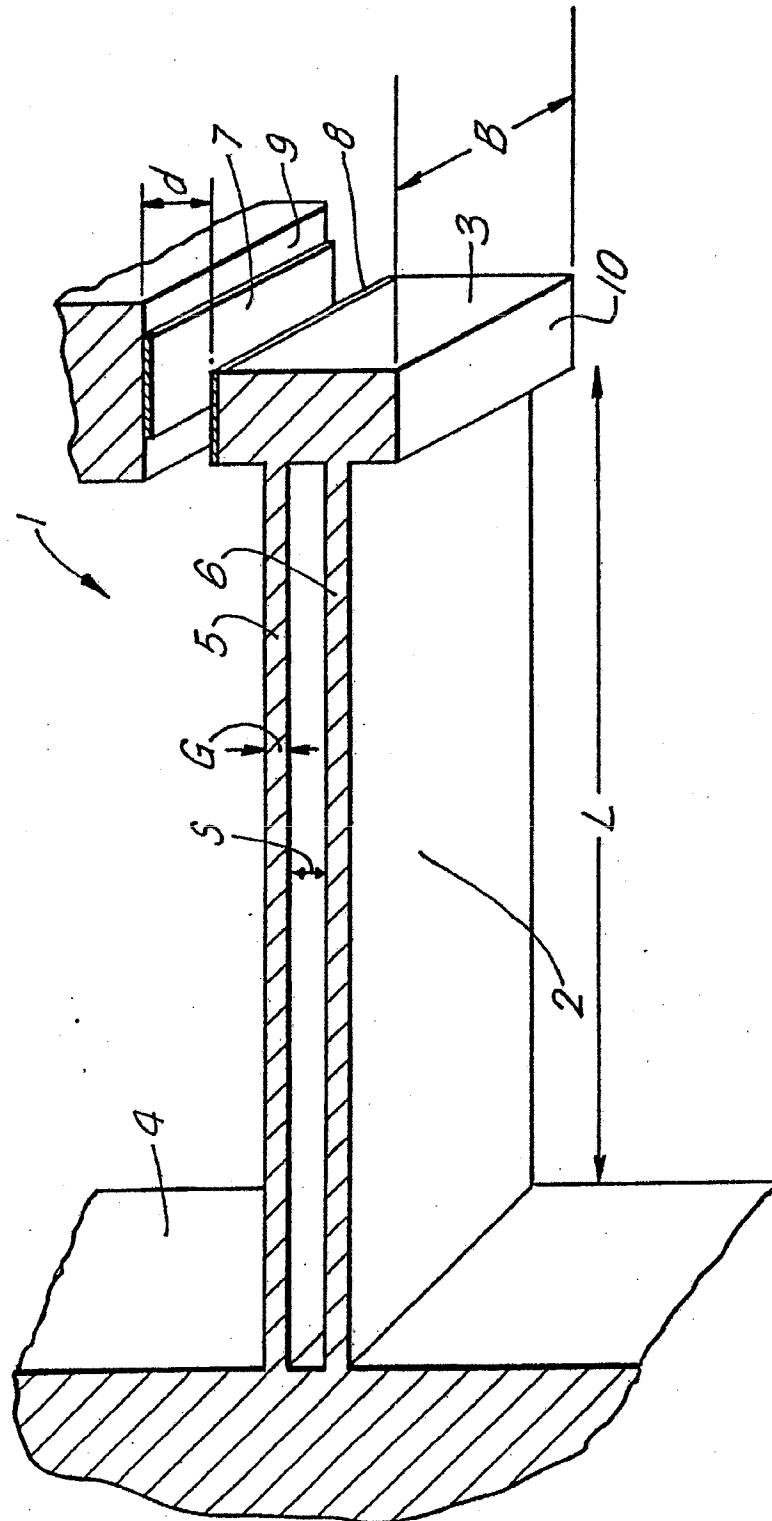
1. A radiation deflector comprising a deflectable cantilever beam of which one end is free and one end is hinged to a supporting substrate wherein the cantilever beam has its centre of mass closer to the free end of the beam than to the hinged end.
2. A radiation deflector according to claim 1 wherein the cantilever beam comprises a beam portion hinged to the substrate and a load portion at the free end of the beam portion and the load portion provides the major proportion of the total mass of the cantilever beam.
3. A radiation deflector assembly comprising at least three radiation waveguides; a controllable radiation deflector positioned such that when the deflector is in a first position radiation passes between one combination of two of the waveguides, and when the deflector is in a second position radiation passes between another combination of two of the waveguides; and control means responsive to control signals for controlling the position of the deflector wherein the deflector comprises a cantilever beam mounted and hinged in a common substrate with the waveguides and characterised in that the cantilever beam has its centre of mass closer to the free end of the beam than to the end hinged to the common substrate.
4. A radiation deflector assembly according to claim 3 wherein the cantilever beam comprises a beam portion hinged to the substrate and a load portion at the free end of the beam portion and the load portion provides the major proportion of the total mass of the cantilever beam.

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5. A radiation deflector assembly according to claim 4 wherein the length of the beam portion and the mass of the load portion are selected such that the first natural resonant frequency of the cantilever beam is substantially greater than the maximum frequency at which the deflector is to be switched between positions.
6. A radiation deflector assembly according to claim 3 or claim 4 wherein the control means comprises means for applying an electrostatic potential for displacing the cantilever beam deflector.
7. A radiation deflector assembly according to claim 6 wherein the control means include an electrode arranged such that the displacement force provided by an applied electrostatic potential effectively acts at the centre of mass of the load portion.
8. A radiation deflector assembly according to claim 3 wherein at least one of the waveguides is provided on the cantilever beam.
9. A radiation deflector assembly according to claim 8 wherein the at least one waveguide runs longitudinally along the cantilever beam.
10. A radiation deflector substantially as hereinbefore described and with reference to the Figures.
11. A radiation deflector assembly substantially as hereinbefore described and with reference to the Figures.

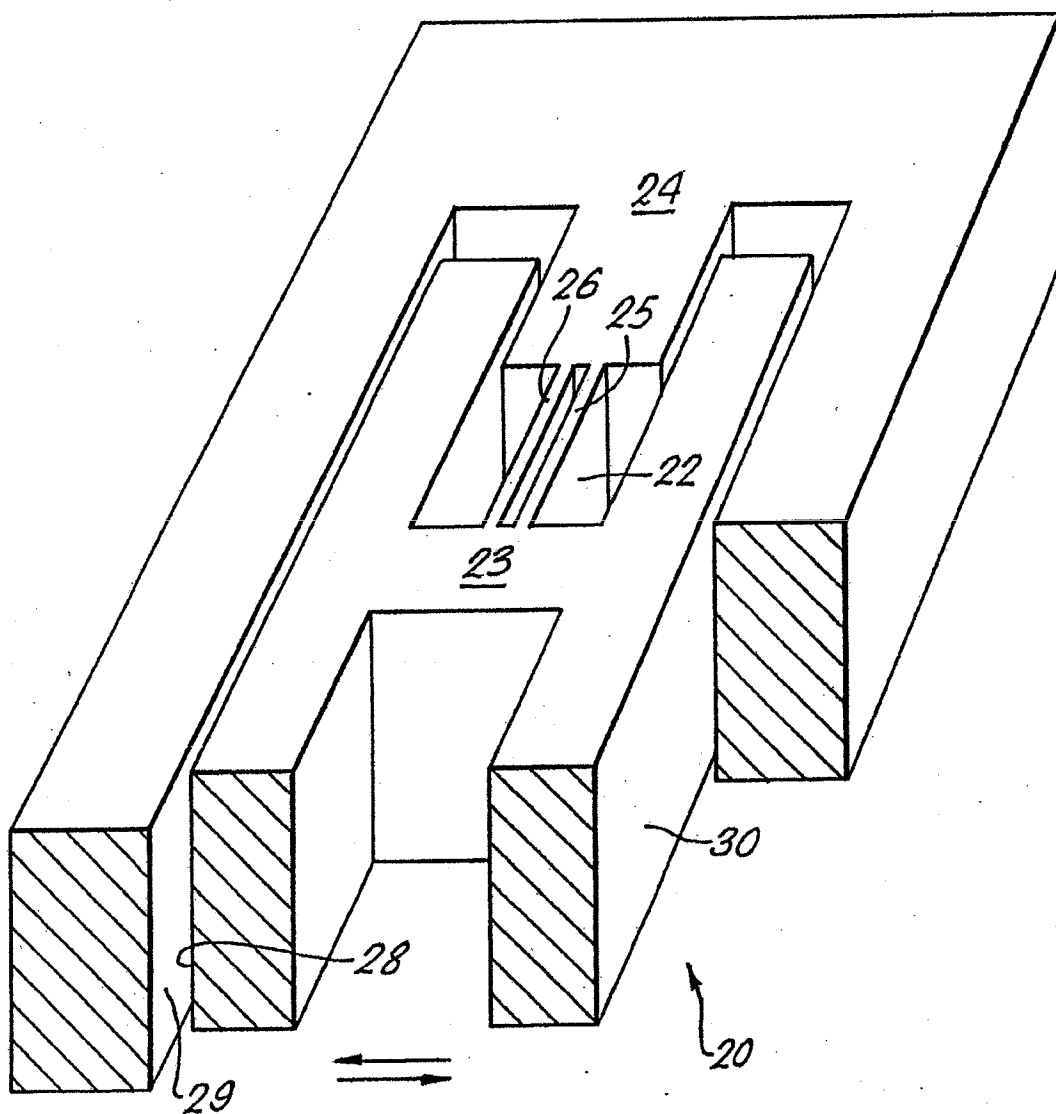
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Fig.1.

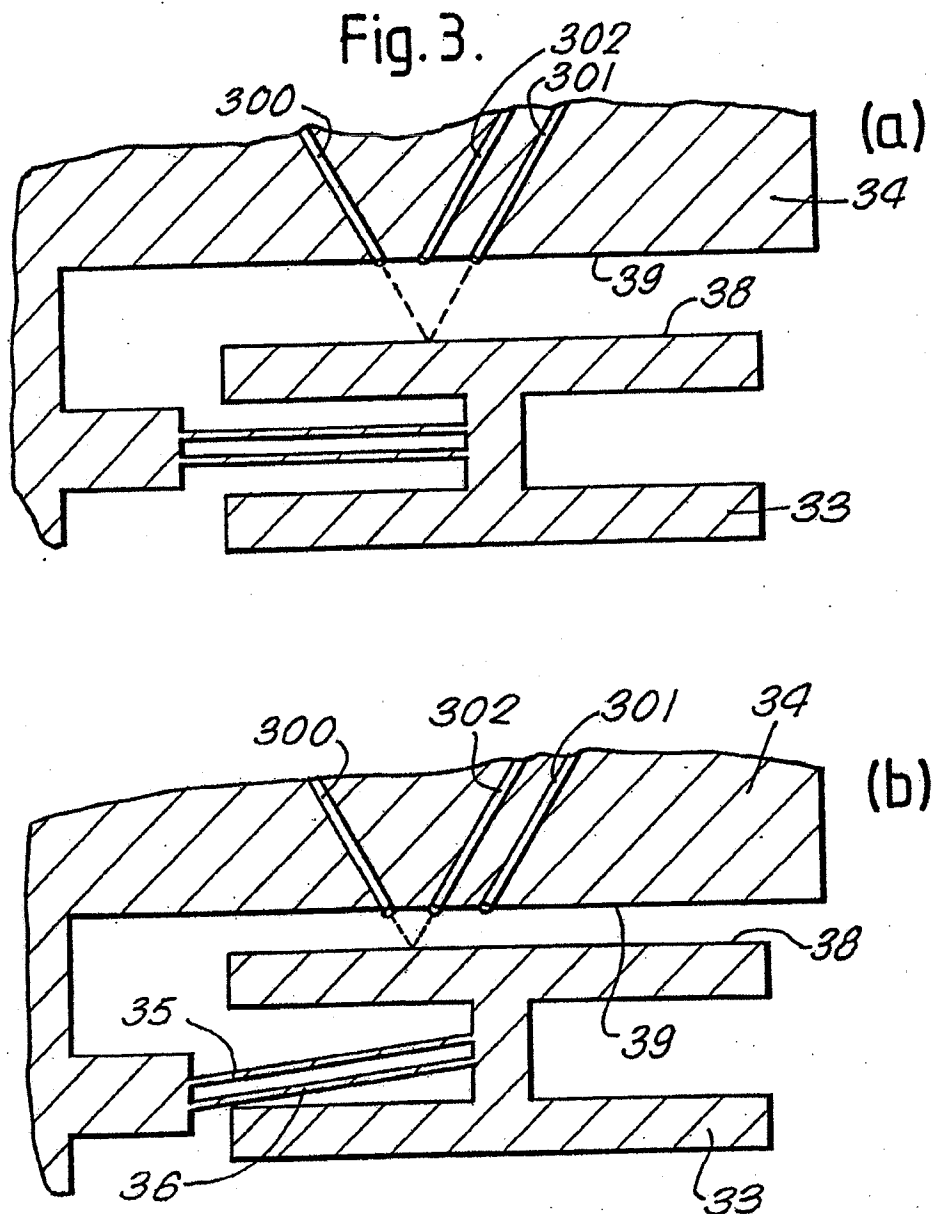


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Fig. 2.

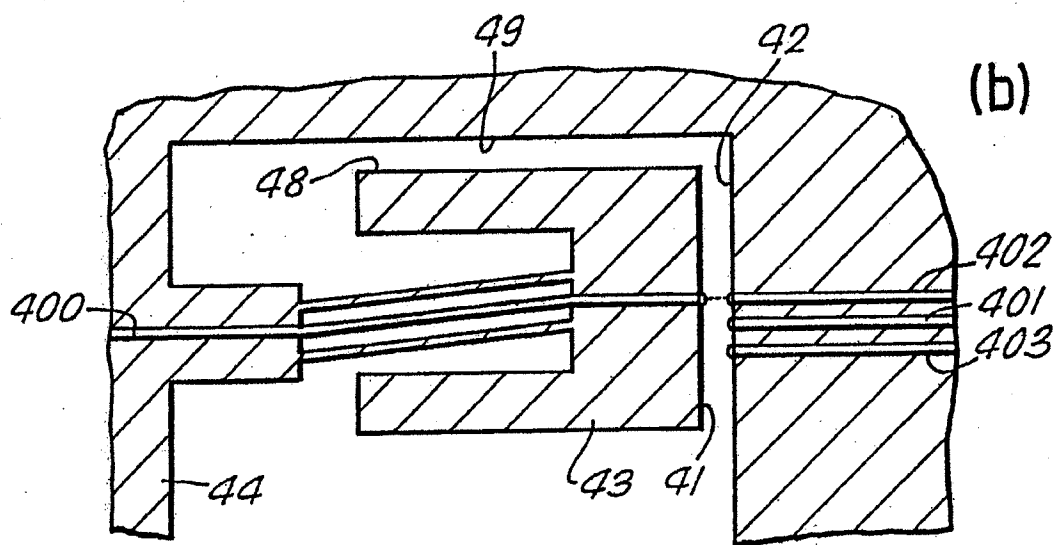
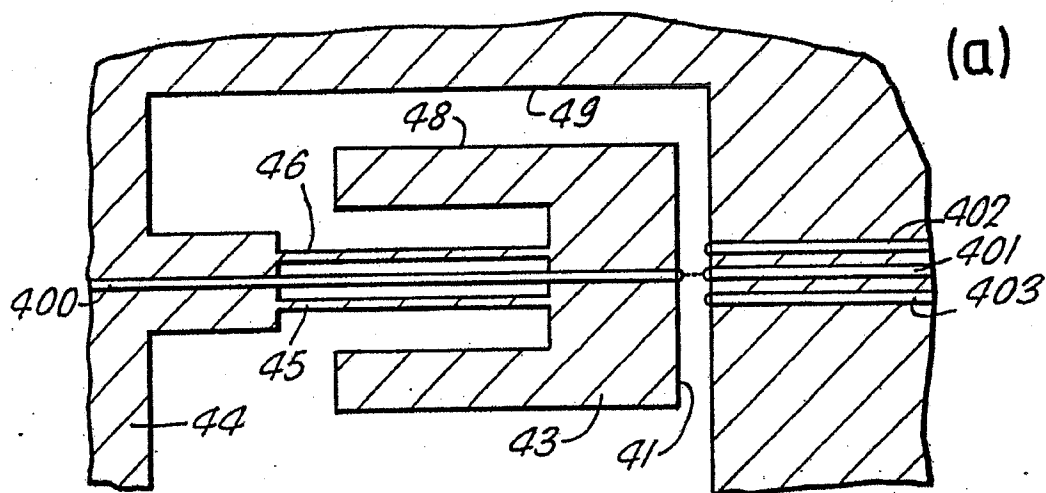


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A/c

Fig.4.



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Fig.5.

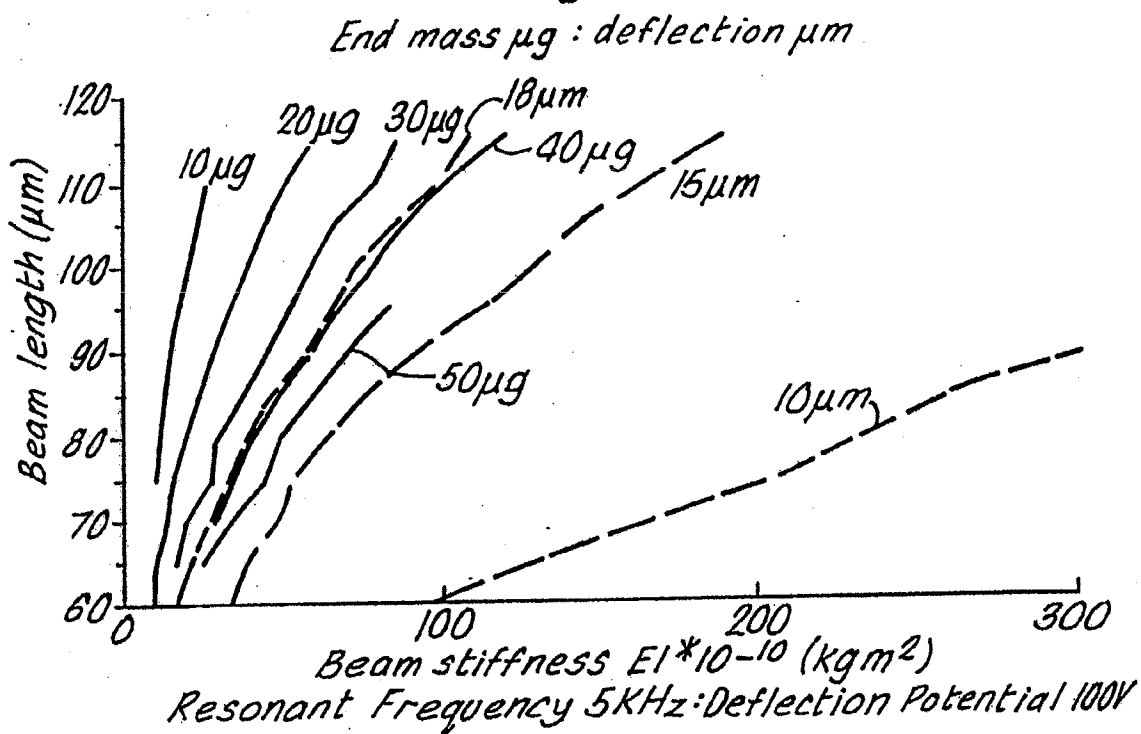
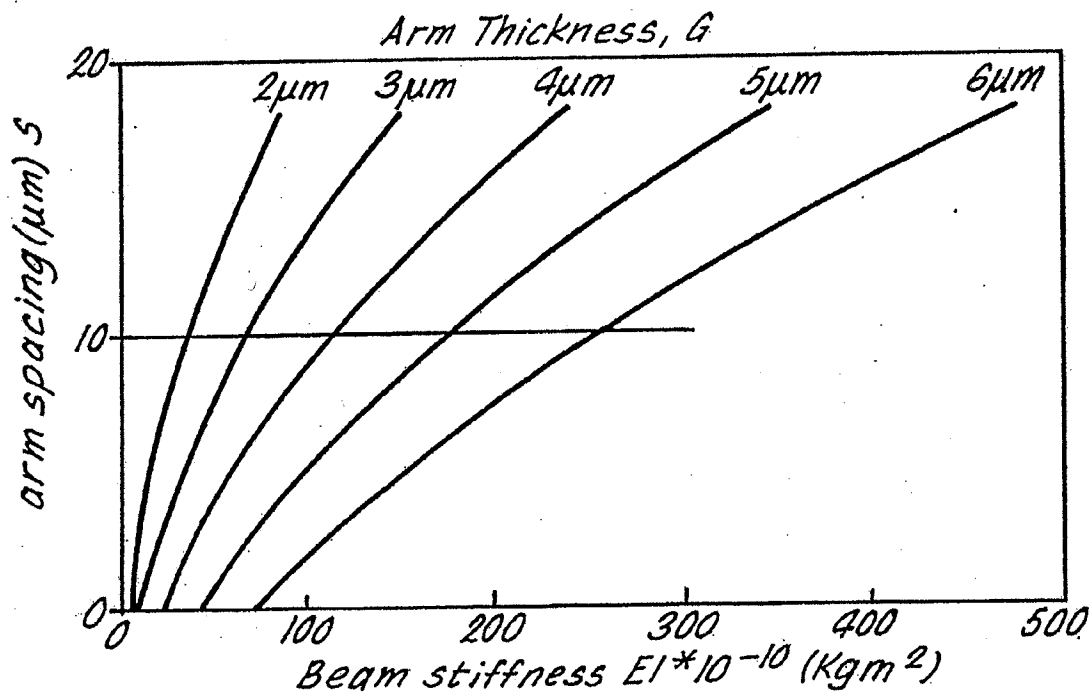
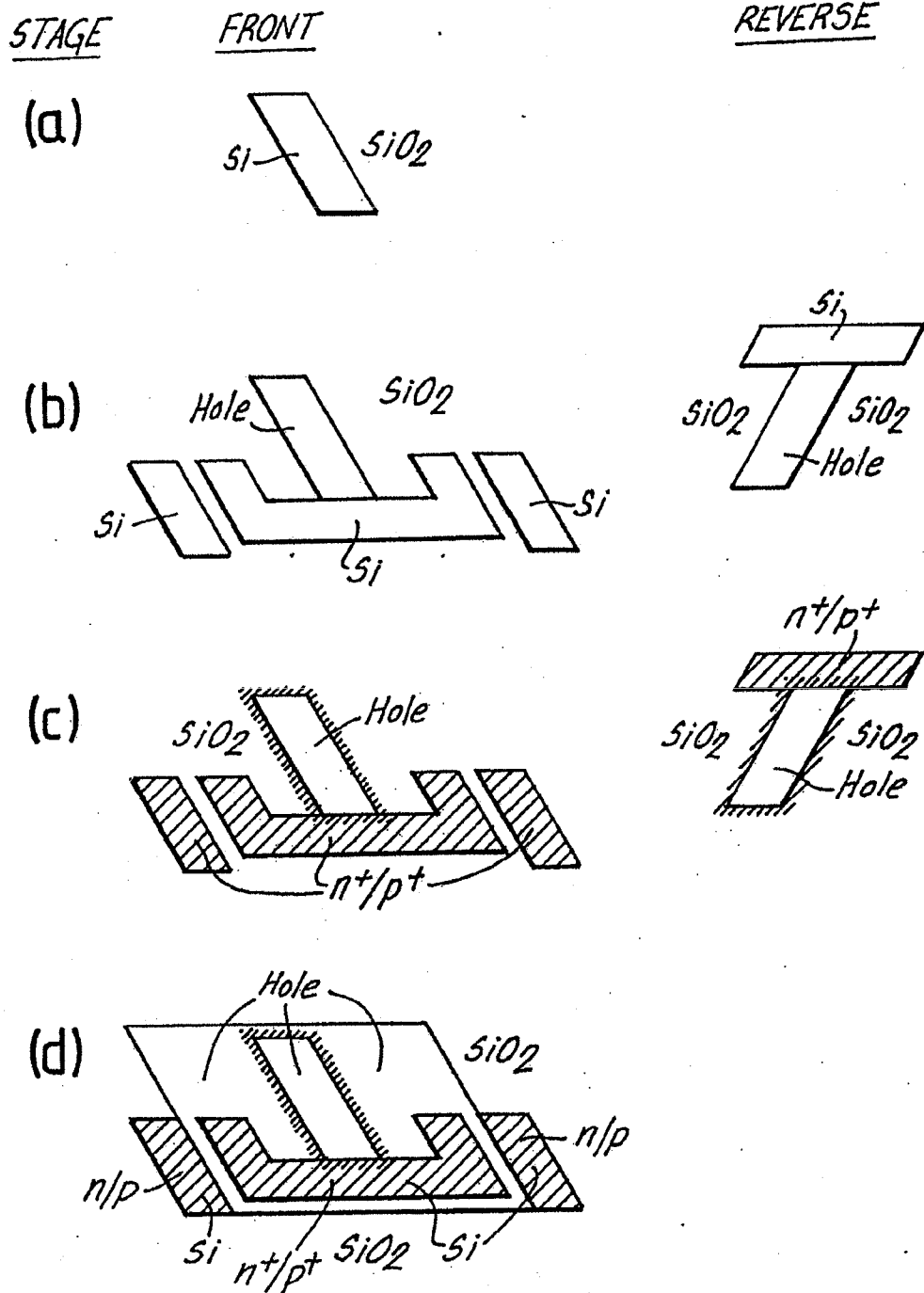


Fig.6.



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Fig.7.



INTERNATIONAL SEARCH REPORT

International Application No. PCT/GB 88/00262

I. CLASSIFICATION OF SUBJECT MATTER (If several classification symbols apply, indicate all) * According to International Patent Classification (IPC) or to both National Classification and IPC IPC ⁴ : G 02 B 26/02																				
II. FIELDS SEARCHED <div style="text-align: center; border-top: 1px solid black; border-bottom: 1px solid black;">Minimum Documentation Searched ⁷</div> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border-bottom: 1px solid black;">Classification System</td> <td style="border-bottom: 1px solid black;">Classification Symbols</td> </tr> <tr> <td style="border-bottom: 1px solid black;">IPC⁴</td> <td style="border-bottom: 1px solid black;">G 02 B 26/00</td> </tr> </table> <div style="text-align: center; border-top: 1px solid black; border-bottom: 1px solid black;">Documentation Searched other than Minimum Documentation to the extent that such Documents are included in the Fields Searched ⁸</div>			Classification System	Classification Symbols	IPC ⁴	G 02 B 26/00														
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III. DOCUMENTS CONSIDERED TO BE RELEVANT⁹ <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Category ⁹</th> <th style="width: 70%;">Citation of Document, ¹¹ with indication, where appropriate, of the relevant passages ¹²</th> <th style="width: 20%;">Relevant to Claim No. ¹³</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">A</td> <td>US, A, 4303302 (H. RAMSEY) 1 December 1981, see figures 1-3; column 3, lines 3-40 --</td> <td style="text-align: center;">1-4,8,9</td> </tr> <tr> <td style="text-align: center;">A</td> <td>US, A, 4626066 (F. LEVINSON) 2 December 1986, see figures 5,6; column 3, lines 11-68; column 4, lines 1-6 --</td> <td style="text-align: center;">1,2,6,7</td> </tr> <tr> <td style="text-align: center;">A</td> <td>EP, A, 0040302 (IBM CORP.) 25 November 1981, see figures 7,8; claims --</td> <td style="text-align: center;">1</td> </tr> <tr> <td style="text-align: center;">A</td> <td>EP, A, 0001000 (WESTERN ELECTRIC CO. LTD) 7 March 1979, see figures; claims; page 2, lines 9-33 --</td> <td style="text-align: center;">1</td> </tr> <tr> <td style="text-align: center;">A</td> <td>US, A, 3758199 (J. THAXTER) 11 September 1973, see figures 1,2; claims -----</td> <td style="text-align: center;">1</td> </tr> </tbody> </table>			Category ⁹	Citation of Document, ¹¹ with indication, where appropriate, of the relevant passages ¹²	Relevant to Claim No. ¹³	A	US, A, 4303302 (H. RAMSEY) 1 December 1981, see figures 1-3; column 3, lines 3-40 --	1-4,8,9	A	US, A, 4626066 (F. LEVINSON) 2 December 1986, see figures 5,6; column 3, lines 11-68; column 4, lines 1-6 --	1,2,6,7	A	EP, A, 0040302 (IBM CORP.) 25 November 1981, see figures 7,8; claims --	1	A	EP, A, 0001000 (WESTERN ELECTRIC CO. LTD) 7 March 1979, see figures; claims; page 2, lines 9-33 --	1	A	US, A, 3758199 (J. THAXTER) 11 September 1973, see figures 1,2; claims -----	1
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<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>* Special categories of cited documents: ¹⁰</p> <p>"A" document defining the general state of the art which is not considered to be of particular relevance</p> <p>"E" earlier document but published on or after the international filing date</p> <p>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</p> <p>"O" document referring to an oral disclosure, use, exhibition or other means</p> <p>"P" document published prior to the international filing date but later than the priority date claimed</p> </div> <div style="width: 45%;"> <p>"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</p> <p>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step</p> <p>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.</p> <p>"G" document member of the same patent family</p> </div> </div>																				
IV. CERTIFICATION <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; border-bottom: 1px solid black;">Date of the Actual Completion of the International Search</td> <td style="width: 50%; border-bottom: 1px solid black;">Date of Mailing of this International Search Report</td> </tr> <tr> <td style="border-bottom: 1px solid black;">1st July 1988</td> <td style="border-bottom: 1px solid black;">18 JUL. 1988</td> </tr> <tr> <td style="border-bottom: 1px solid black;">International Searching Authority</td> <td style="border-bottom: 1px solid black;">Signature of Authorized Officer</td> </tr> <tr> <td style="border-bottom: 1px solid black;">EUROPEAN PATENT OFFICE</td> <td style="border-bottom: 1px solid black;"> P.C.G. VAN DER PUTTEN </td> </tr> </table>			Date of the Actual Completion of the International Search	Date of Mailing of this International Search Report	1st July 1988	18 JUL. 1988	International Searching Authority	Signature of Authorized Officer	EUROPEAN PATENT OFFICE	P.C.G. VAN DER PUTTEN										
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**ANNEX TO THE INTERNATIONAL SEARCH REPORT
ON INTERNATIONAL PATENT APPLICATION NO.**

GB 8800262

SA 21552

This annex lists the patent family members relating to the patent documents cited in the above-mentioned international search report.
The members are as contained in the European Patent Office EDP file on 07/07/88
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Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US-A- 4303302	01-12-81	None	
US-A- 4626066	02-12-86	None	
EP-A- 0040302	25-11-81	JP-A- 57008520 US-A- 4317611	16-01-82 02-03-82
EP-A- 0001000	07-03-79	US-A- 4152043 JP-A- 54046573 CA-A- 1091491	01-05-79 12-04-79 16-12-80
US-A- 3758199	11-09-73	None	

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